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CONFIRMATION NO. 4960

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|---|---|-------------------------------|---|--|
| <b>SERIAL NUMBER</b><br>09/857,496  | <b>FILING OR 371(c) DATE</b><br>06/05/2001<br><b>RULE</b>   | <b>CLASS</b><br>705           | <b>GROUP ART UNIT</b><br>3691   | <b>ATTORNEY DOCKET NO.</b><br>053775-5001-US |
| <b>APPLICANTS</b><br>Bradley J. McGill, Birmingham, AL;<br>Evan J Winston, New York, NY;  |   |                               |   |  |
| <b>** CONTINUING DATA *****</b><br>This application is a 371 of PCT/US01/11748 05/04/2001   |   |                               |   |  |
| <b>** FOREIGN APPLICATIONS *****</b>  |   |                               |   |  |
| <b>** SMALL ENTITY **</b>   |   |                               |   |  |
| Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no<br>35 USC 119 (a-d) conditions <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after<br>met Allowance<br>Verified and Acknowledged _____<br>Examiner's Signature Initials |   | <b>STATE OR COUNTRY</b><br>AL | <b>SHEETS DRAWING</b><br>11   | <b>TOTAL CLAIMS</b><br>64                    |
|   |   |                               |   | <b>INDEPENDENT CLAIMS</b><br>8               |
| <b>ADDRESS</b><br>28977   |   |                               |   |  |
| <b>TITLE</b><br>DERIVATIVE SECURITIES AND SYSTEM FOR TRADING SAME   |   |                               |   |  |
| <b>FILING FEE RECEIVED</b><br>951   | FEES: Authority has been given in Paper<br>No. _____ to charge/credit DEPOSIT ACCOUNT<br>No. _____ for following: |                               | <input type="checkbox"/> All Fees<br><input type="checkbox"/> 1.16 Fees ( Filing )<br><input type="checkbox"/> 1.17 Fees ( Processing Ext. of time )<br><input type="checkbox"/> 1.18 Fees ( Issue )<br><input type="checkbox"/> Other _____<br><input type="checkbox"/> Credit |  |